



# Equiniti Group Global Ethical and Responsible Business Statement

April 2021

This Statement outlines the approach to ethical business across the whole of the Equiniti Group (“EQ”) worldwide. It explains our key principles of ethical and responsible business, and gives information on how we abide by those principles in practice. Readers should also refer to EQ’s Human Rights and Environmental Statements.



# 1. Key principles

**Our responsible business objective is to ensure that, as EQ grows, it does so in a responsible and sustainable way. We advocate for our customers, our local communities, our suppliers, our colleagues and the environment, and embed principles of responsible business through our focus on collaborative partnerships and strong governance.**

EQ's overall business strategy has been developed with sustainability at its heart, prioritising organic growth with a focus on maintaining strong client relationships. Our people and platforms connect businesses with markets, engage customers with their investments and allow organisations to grow and transform. Our vision is to help businesses and individuals succeed, and create positive experiences for the millions of people who rely on us. International standard ISO 26000:2010 sets out what a socially responsible organisation looks like.

According to this standard, “an organisations commitment to the welfare of society and the environment has become a central criterion in measuring its overall performance and its ability to continue operating effectively. This, in part, is a reflection of the growing recognition that we need to ensure healthy ecosystems, social equity and good organisational governance. Ultimately, an organisation’s activities depend on the health of the world’s ecosystems. These days, organisations are subject to greater scrutiny by their various stakeholders.”

EQ seeks to follow the guidance and align to the values and principles outlined in the standard. Therefore, EQ commits to:

- Behaving ethically and responsibly at all times
- Being accountable for our impact on society, the economy and the environment
- Being transparent in our decisions and activities which impact on society and the environment
- Respecting and considering the interests of our colleagues, customers, shareholders, suppliers and communities

We are committed to having a positive impact on colleagues, the community and the environment. EQ also complies with all 10 principles of the UN Global Compact.

## 2. Responsible business at EQ-our purpose, mission and vision

To fulfil our commitments, we abide by the following set of values in all our activities:

### **We are inventive in growth, and meticulous in performance**

Together EQ creates seamless transactions, accessible services and positive experiences for people around the world.

We deliver this value by conducting our business ethically and responsibly, and in line with regulatory requirements. We act with integrity and honesty at all times, taking reasonable care to organise and control affairs responsibly and effectively, with adequate risk management systems in place. We observe proper standards of market conduct, and manage any conflicts of interest fairly.

### **Our purpose is to care for every customer and simplify each and every transaction**

One of our central values at EQ is keeping things real for our customers, by being grounded, supportive and open. We work closely with our clients and customers to make sure we address real needs.

Recognising the differing needs of our customers, we aim to deliver EQ products and services that are accessible to all. We protect the rights of all customers, and have robust policies and training in place for all customer experience colleagues. We use feedback to continually improve customer experiences, through our customer insight/global advocacy programme.

### **We are kind to each other**

Another central value for EQ is that as colleagues, we play our part and think as one global team who are empowered and stronger together. We are kind to each other, no matter where we are, we respect our colleagues and take time to listen to each other.

EQ has an inclusive culture that enables innovation, sustains high performance and most importantly allows colleagues to thrive. We want all EQ colleagues to feel supported, protected by robust people policies, and we do not tolerate harassment or victimisation on any grounds.

### **We are mindful of our planet**

As an organisation which is growing globally, we recognise we have a responsibility to grow in a way which minimises negative impact on the planet. We have committed to integrating environmental considerations into business decisions, and are always seeking ways to improve.

### **We enjoy supporting our local communities**

EQ plays a positive, proactive role in our local communities and empower colleagues to support causes which matter to them. We partner with local schools, charities, businesses and other interest groups to improve lives in the localities where we operate.

### 3. Delivery

EQ employs a range of measures to ensure we conduct our business ethically, responsibly and in line with regulatory requirements.

These measures include:

#### a) Policies and risk management

At EQ, we have a range of responsible business policies covering key legal and ethical issues, including an Environment Policy and a Social Policy. These policies are supported by a Responsible Business Handbook, which includes guidance for all business areas on how to apply our policies in practice.

An enterprise-wide risk management framework ensures a consistent approach the business, enabling all business areas to measure and report on any risk in this area. EQ's business continuity planning considers impacts to operations from weather events, for example flooding which could cause denial of access to buildings, or colleague absence.

EQ's organisational resilience programme ensures preparedness and timely operational response to critical incidents that may arise.

EQ's Supplier Code of Conduct outlines our standards on key social, ethical and environmental issues, including human rights and modern slavery. All suppliers should be able to evidence how they maintain the standards outlined, and Group Procurement will work with any suppliers who are found not to comply.

All EQ colleagues, regardless of employee status, and suppliers, have access to an independent confidential reporting service, as well as our internal whistleblowing process.

We have a range of additional policies and documents in place to support our responsible business principles which include but are not limited to:

- Anti-Bribery and Corruption Policy
- Anti- Money Laundering Policy
- Conflicts of Interest Policy
- Whistleblowing Policy
- Equality, Diversity & Inclusion Policy
- Customer Treatment Statement
- Vulnerable Customers Policy
- Equiniti Group plc Modern Slavery Statement
- EQ Supplier Code of Conduct.

**b) Colleague engagement and training**

At EQ, we encourage strong colleague engagement via our Global Colleague Forum, which includes representatives from different locations and functions and is chaired by a Board-appointed non-executive Director for Employee Voice, enabling genuine two-way communication between EQ colleagues and the Board.

All EQ colleagues undertake annual mandatory online core compliance training modules, including diversity & inclusion training. In addition, this is a six-monthly review of core responsibilities for all colleagues, including human rights and modern slavery.

**c) Community engagement**

In addition to EQ's commitments to environment, social and governance issues, we also support the below activities within our local communities:

- Volunteering – all EQ colleagues may use two days per year out of the office, in addition to their annual leave entitlement, to support a charity or community project of their choice
- Charitable giving - we support and encourage colleagues to participate in fundraising opportunities, recognising the positive impact that giving has on employee wellbeing, engagement and belonging
- Charity partnerships – we partner with well-known organisations and charities to promote diversity, equality, health & wellbeing, community engagement and volunteering
- Young people – we seek opportunities to support young people by providing work experience and volunteer opportunities, and by creating close links to schools

**This policy and the commitment to ethical and responsible business is fully supported and endorsed by the Equiniti Group Board of Directors.**

